

15772 U.S. PTO  
04/24/01

PATENT  
Attorney Docket 044574-5099-US

JC885 U.S. PTO  
09/840085  
04/24/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION

Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL FOR A NEWLY EXECUTED ORIGINAL  
APPLICATION UNDER 37 C.F.R. § 1.53(b)**

This is a request for filing a patent application under 37 C.F.R. § 1.53(b) for:

- Inventors:
1. Alanna Schepartz Shrader, Wilton, CT
  2. Jason W. K. Chin, New Haven, CT
  3. Reena Zutshi, New Haven, CT
  4. Stacey E. Rutledge, New Haven, CT
  5. Joanne D. Kehlbeck Martin, Guilderland, NY
  6. Neal J. Zondlo, Arlington, MA

For: **DNA & Protein Binding Miniature Proteins**

1. This is a new **Utility** patent application.
2. The papers enclosed to obtain a filing date are as follows:
  - 50** Pages of Specification including
  - 46** Pages of Description
  - 03** Pages of Claims
  - 01** Page of Abstract
  - 06** Sheets of Informal drawings containing **6** Figures
3. Combined Declaration and Power of Attorney
  - ☐ Enclosed and is executed by all inventors.
  - ☒ Not Enclosed - this application is being filed under the provisions of 37 C.F.R. § 1.53(f). Applicant awaits notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.
4. Language
  - ☒ English
  - ☐ Non-English

This application is being filed in accordance with 37 C.F.R. § 1.52(d) and § 608.01 of the MPEP. Applicant awaits notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

## 5. Assignment

- ☐ An assignment of the invention to:  
and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.
- ☒ An assignment will be filed at a later date.

6. Priority - foreign applications under 35 U.S.C. § 119(a)-(d) or § 365(b) or PCT international applications under 35 U.S.C. § 365(a) designating at least one country other than the U.S.

- ☐ Priority of the following foreign applications is claimed:

| Country | Application No. | Filed |
|---------|-----------------|-------|
|         |                 |       |

Certified copies: ☐ are attached. ☐ will follow.

6. Priority based on provisional applications - 35 U.S.C. § 119(e)

- ☒ Priority of the following provisional applications are claimed:

| Application No. | Filed             |
|-----------------|-------------------|
| 60/199,408      | April 24, 2000    |
| 60/240,566      | October 13, 2000  |
| Not Assigned    | January 13, 2001  |
| Not Assigned    | February 23, 2001 |

## 7. Small Entity Status

Name of Concern: **Yale University**

Address of Concern: **451 College Avenue, New Haven CT 06520**

- ☒ I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e), for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled **DNA & Protein Binding Miniature Proteins**.

## 8. Fee Calculation (37 C.F.R. § 1.16)

| CLAIMS FOR FEE CALCULATION                  |              |              |                |                    |
|---|--------------|--------------|----------------|--------------------|
|   | Number Filed | Number Extra | at Rate of     | Basic Fee \$710.00 |
| Total Claims                                | 56 - 20 =    | 36           | \$18.00 each = | +648.00            |
| Independent Claims                          | 4 - 3 =      | 1            | \$80.00 each = | + 80.00            |
| Multiple dependent claims, if any           |              |              | \$270.00       | +270.00            |
| SUB-TOTAL                                   |              |              |                | =1,708.00          |
| Reduction by ½ for filing by a small entity |              |              |                | -854.00            |
| TOTAL FILING FEE                            |              |              |                | \$854.00           |

## 9. Application Filing Fee and Fee Payment:

|                 |                              |
|-----------------|------------------------------|
| \$355.00        | Application Filing Fee       |
| \$324.00        | Excess Total Claim Fee       |
| \$ 40.00        | Excess Independent Claim Fee |
| <u>\$135.00</u> | Multiple Claim Fee           |
| \$854.00        | Total                        |

A check in the amount of **\$854.00** for payment of the application filing fee is enclosed.

## 10. Additional papers enclosed:

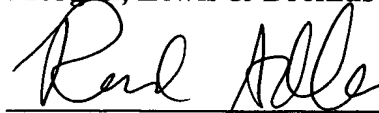
- ☒ Sequence Listing - 24 pages
- ☒ Diskette with computer readable copy of Sequence Listing
- ☒ Statement Accompanying Sequence Listing - 1 page

11. **Except** for issue fees payable under 37 C.F.R. § 1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§ 1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-0310. This paragraph is intended to be a **Constructive Petition for Extension of Time** in accordance with 37 C.F.R. § 1.136(a)(3).

12. **Please accord this application an application number and filing date.**

Dated: **April 24, 2001**  
Morgan, Lewis & Bockius LLP  
Customer No. **09629**  
1800 M Street, N.W.  
Washington, D.C. 20036  
202-467-7000

Respectfully submitted  
**Morgan, Lewis & Bockius LLP**

A handwritten signature in black ink, appearing to read "Reid Adler", written over a horizontal line.

Reid G. Adler  
Registration No. 30,988